

REMARKS

Applicants thank the Examiner for withdrawing the previous rejection of claims 1-4, 7-14, 17-19 and 21 as anticipated under 35 U.S.C. §102(b) by Wang *et al.* (U.S. Patent 5,922,617). Applicants also thank the Examiner for withdrawing the 35 U.S.C. §103(a) rejections of claims 5 and 6 in view of Drobyshev *et al.* and claims 15, 16, 22, and 23 in view of Wang *et al.* and Ahern.

With regard to the maintained and new rejections, applicants respectfully request reconsideration of the present application in view of the foregoing amendments and the reasons that follow. Claims 1 and 8-9 are currently being amended. Claims 17, and 19-23 are requested to be cancelled. After amending the claims as set forth above, claims 1-16 are now pending in this application. This amendment adds, changes and/or deletes claims in this application. A detailed listing of all claims that are, or were, in the application, irrespective of whether the claim(s) remain under examination in the application, is presented, with an appropriate defined status identifier.

The amendment of claim 1 is supported by the application as originally filed, does not add new matter, and is otherwise proper. Support for the amendment to claim 1 may be found throughout the specification but particularly in paragraphs [0021] and [0022]. The amendments to claims 8-9 bring those dependent claims into line with the amendments to independent claim 1. Support for the amendments to the dependent claims can be found in many of the same places as the support for the amendment to claim 1. As the amendments to the claims do not add new matter and are otherwise proper, applicants respectfully request entry of these amendments in their entirety.

CLAIMS

I. Rejection of claims under 35 U.S.C. § 112

In the Office Action, claims 1-14, 17, and 19-21 were rejected under 35 U.S.C. § 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim

the subject matter which applicant regards as the invention. Claims 17 and 19-21 have been cancelled, rendering the Examiner's rejection of those claims moot.

Regarding the 35 U.S.C § 112 rejection, the Examiner states that “[c]laims 1-14 is [sic] confusing and lacks proper antecedent basis in claim 1 at step (b).” Claim 1 has been amended to change the phrase “contacting the nucleic acid and the protein under conditions which allow the nucleic acid and the protein to interact” to “contacting the immobilized nucleic acid with a protein in aqueous solution and contacting the immobilized protein with a nucleic acid in aqueous solution under conditions which allow the immobilized nucleic acid and the protein and the immobilized protein and the nucleic acid to interact...” This amendment, along with the addition of the phrase “if any” with respect to the nucleic acid-protein interaction overcomes the rejection based upon the “contacting step ... not correlate[ing] to the step of ‘immobilizing a nucleic acid or protein within a solid support.’”

The Examiner goes on to state that it is “confusing at step (c) for ‘measuring the strength of the nucleic acid protein interaction’ because “[t]he specification does not provide a limiting definition for the term “strength” as it relates to interaction. Thus, it unclear [sic] as to how or what conditions are necessary to determine ‘strength’ of interaction between a nucleic acid and protein or nucleic acid nucleic acid or protein and protein.” Applicants respectfully disagree with the Examiner and submit that the use of the phrase “strength” is clear as written. As stated in paragraph [0030] of the application, “the strength of the interaction can be determined by measuring the melting temperature or the nucleic acid or the temperature which causes dissociation of the protein from the nucleic acid.” Paragraph [0031] goes on to state that “fluorescence microscopy is used for quantitative, real-time measurement of the interaction of nucleic acid protein interactions which are fluorescently labeled.” (emphasis added). Using the disclosure of the specification, and knowledge of one skilled in the art regarding measuring the “strength” of nucleic acid-protein interactions, the skilled artisan would understand the use of the word “strength” in the claims.

In light of the above, applicants respectfully assert that the claims are clear as amended and the 35 U.S.C. § 112, second paragraph rejection to claims 1-14 should be withdrawn. However, if the Examiner continues to disagree with the applicants regarding this language, applicants would be happy to consider any claim language suggested by the Examiner.

II. Rejection of Claims under 35 U.S.C. § 102

A. Rejection of claims 1-5, 7-9, and 12-13 under 35 U.S.C. § 102(b) based on *Guschin et al.* (*Analytical Biochemistry* 250: 203-211 (1997))

Applicants respectfully traverse the rejection of claims 1-5, 7-9, and 12-13 as purportedly anticipated by *Guschin et al.* (*Analytical Biochemistry*, 250: 203-211 (1997)). A *prima facie* case of anticipation under 35 USC § 102 requires that a single reference teach each and every element of the claimed invention. MPEP § 2131. The present invention as defined, e.g., by amended claim 1 distinguishes over the cited reference by reciting contacting an immobilized nucleic acid with a protein in aqueous solution or contacting an immobilized protein with a nucleic acid in aqueous solution. As *Gushin et al.* simply do not teach this element of the claimed invention, applicants respectfully assert that a *prima facie* case of anticipation has not been established.

The Office Action states that *Gushin et al.* “teach a method for characterizing a nucleic acid and protein interaction comprising: (a) immobilizing a nucleic acid or protein within a solid support; (b) contacting the nucleic acid or protein with the immobilized nucleic acid or protein under conditions which allow the nucleic acid and protein to interact; and (c) measuring the strength of the nucleic acid and protein interaction with the nucleic acid or protein immobilized (sic) solid support.” A close reading of *Guschin et al.* reveals that in the reference, the nucleic acids and/or proteins are being contacted with either another nucleic acid or another protein, respectively. Immobilized DNA being contacted with other DNA is demonstrated by *Guschin et al.* Figs. 3 and 5 and the corresponding text. Similarly, immobilized protein being contacted with other protein is demonstrated by *Guschin et al.* Fig. 6 and corresponding text. Thus, *Guschin et al.* disclose that the nucleic acids may be contacted with other nucleic acids and the interaction measured and proteins may be contacted with other proteins and the interaction measured. At no point do *Guschin et al.* teach or suggest that the nucleic acids and/or proteins may be contacted with each other, as recited by amended claim 1. Because *Guschin et al.* do not teach any method using an immobilized nucleic acid contacted with a protein in aqueous solution or an immobilized protein contacted with a nucleic acid in aqueous solution, *Guschin et al.* fail to teach each and every element of the claimed invention. Therefore, the *Guschin et al.* reference does not anticipate claim 1 of the present invention, and it cannot anticipate claims 2-5, 7-9, and 12-13,

which depend from independent claim 1. Accordingly, applicants respectfully request that the Examiner withdraw the rejection of claims 1-5, 7-9, 17 and 12-13 and allow the claims to issue.

B. Rejection of claims 1, 4, 5, and 7 under 35 U.S.C. § 102(e) based on Taylor et al. (U.S. Patent 6,682,893)

Applicants respectfully traverse the rejection of claims 1, 4, 5, and 7 as allegedly anticipated under 35 U.S.C. § 102(e) by Taylor *et al.* (U.S. Patent 6,682,893)). The present invention as defined, e.g., by amended independent claim 1 distinguishes over the cited reference at least by requiring the nucleic acid or protein contacted with the immobilized protein or nucleic acid, respectively, to be in aqueous solution. By contrast Taylor *et al.* fail to disclose this element and therefore fail to teach each and every element of the claimed method. In Taylor *et al.*, as demonstrated by col. 7, lines 21-30 and col. 8, lines 38-42, both nucleic acids and/or proteins are immobilized in separate layers of a gel. Forcing the interaction to take place within two gel layers, such as that disclosed by Taylor *et al.*, may increase the concentration effect, thus producing artificial results, or require higher concentrations of materials, thus making the method impractical for use in assays where only small amounts of material can be obtained. Paragraph [0023] of the current specification states that it was surprising and unexpected that “meaningful data can be obtained [with the methods of the invention] utilizing these infinitesimal amounts of protein and/or nucleic acid.” Furthermore, additional gel layers require additional researcher time and labor. Therefore, not only does Taylor *et al.* fail to teach or suggest every element of the methods of the present invention, there are real world disadvantages in performing the method disclosed by Taylor *et al.* versus the methods claimed in the present invention.

For the reasons set forth above, Taylor *et al.* cannot anticipate claim 1 under 35 U.S.C. § 102(e). Likewise, claims 4, 5, and 7, which depend directly from claim 1, cannot be anticipated. Accordingly, applicants respectfully request the Examiner withdraw the 35 U.S.C. § 102(e) rejection based on Taylor *et al.* and allow the claims to issue.

C. Rejection of Claims 17, 19-21 under 35 U.S.C. § 102(a) based on Arenkov et al. (Analytical Biochemistry 278: 123-131 (2000)).

Claims 17 and 19-21 were rejected as anticipated by Arenkov *et al.* under 35 U.S.C. § 102(a). Claims 17 and 19-21 have been cancelled. Thus, this rejection has been rendered moot.

II. Claim Rejections under 35 U.S.C. § 103(a)

- A. *Rejection of Claims 1-14, 17, and 19-21 under 35 U.S.C. § 103(a) based on Wang et al. (U.S. Patent No.: 5,922,617) in view of Drobyshev et al. (Nucleic Acids Research, 27: 4100-4105 (1999)) and in further view of Arenkov et al. (Analytical Biochemistry 278: 123-131 (2000))*

In the Office Action, claims 1-14, 17 and 19-21 were rejected under 35 U.S.C. § 103(a) in light of three references cited by the Examiner. Claims 17 and 19-21 have been cancelled, thus rendering the rejection of these claims under 35 U.S.C. § 103(a) moot. Applicants respectfully traverse the rejection of claims 1-14 as being allegedly unpatentable under 35 U.S.C. § 103(a) over Wang *et al.* (U.S. 5,922,617) in view of Drobyshev *et al.* (Nucleic Acids Research 27: 4100-4105 (1999)) and in further view of Arenkov *et al.* (Analytical Biochemistry, 278: 123-131(2000)). As stated in § 2143 of the MPEP,

[t]o establish a *prima facie* case of obviousness, three basic criteria must be met. First, there must be some suggestion or motivation, either in the references themselves or in the knowledge generally available to one of ordinary skill in the art, to modify the reference to combine reference teachings. Second, there must be a reasonable expectation of success. Finally, the prior art reference (or references when combined) must teach or suggest all the claim limitations.

Applicants respectfully submit that a *prima facie* case of obviousness has not been established.

First, there is no suggestion to combine the references cited by the Examiner. The Office Action states that “one of ordinary skill in the art at the time of the claimed invention would have been motivated to have modified the method of Wang *et al.* to encompass [sic] the use of compounds immobilized within a gel pad rather than on a solid surface to characterize nucleic acid or protein interaction.” However, contrary to the Examiner’s assertion, applicants respectfully submit that because the advantages of the methods found in the Wang *et al.* reference would be lost in combination with the methods of Drobyshev *et al.*, the reference in fact teaches away from immobilizing compounds within a gel pad.

For example, the methods in Wang *et al.* provide that the immobilized protein or nucleic acid is attached to the solid surface using various specific methods. In certain embodiments, these methods provide that “one may use magnetic beads with a magnetic or

magnetizable solid support.” Wang *et al.* Col. 5 lines 60-61. Wang *et al.* go on further to state that “using the various techniques of this invention, particularly the magnetic beads, provides great flexibility, where the bound components can be arrayed in any numbers or sizes, and with the bead, the arrays are reversible and can be retrieved for further processing.” (emphasis added) Wang *et al.* Col. 6, lines 63-67. The skilled artisan can immediately see the advantages to arrays that are reversible, such as being useful in releasing particular molecules from the surface during the assay, or using the same assay more than once while limiting the bound areas of the assay during the subsequent use.

Furthermore, there are other advantages known in the art to using an impermeable, rigid support instead of a gel pad. For example, because “liquid cannot penetrate the surface of the (solid) support, target nucleic acids can find immediate access to the probes without diffusing into pores. This enhances the rate of hybridization...[t]he washing step which follows hybridization is also unimpeded by diffusion, speeding up the procedure and improving reproducibility.” E. Southern (of Southern Blot fame), *Nature Genetics* 21(suppl): 5-9 (1999).

As the skilled artisan would understand that they would be giving up as many (or more) advantages by using the gel pads with the methods of Wang *et al.*, it is highly unlikely that one would take the teachings of Wang *et al.* and combine them with the teachings of Drobyshev *et al.* and Arenkov *et al.* to use gel pads. The methods in Wang *et al.* and the methods of the present invention simply provide advantages that are opposed to each other. One seeking the advantages of Wang *et al.* would not use the present invention, and vice-versa. In light of this, applicants respectfully submit that there is no motivation to combine, and in fact there are many motivations not to combine, the references cited by the Examiner. Because there is no motivation to combine the teachings, a *prima facie* case of anticipation has not been established. Therefore, applicants respectfully request the Examiner withdraw the rejections of claims 1-14 and allow the claims to issue.

B. Rejection of claims 17, and 19-21 under 35 U.S.C. § 103(a) as obvious over Guschin et al. (Analytical Biochemistry, 250: 203-21 (1997))

Regarding the rejection of claims 17 and 19-21, based on Guschin *et al.*, claims 17 and 19-21 have been cancelled, rendering the Examiner’s rejection moot. Therefore, applicants respectfully request the Examiner withdraw the rejection.

C. *Rejection of claim 15 and claim 16 under 35 U.S.C. § 103(a) as obvious over Guschin et al. (Analytical Biochemistry, 250: 203-21 (1997)) in view of Ahern (The Scientist, 20: 1-5 (1995))*

Applicants respectfully traverse the rejection of claim 15 and claim 16 under 35 U.S.C. § 103(a) as allegedly being unpatentable over Guschin *et al.* in view of Ahern. Applicants respectfully traverse the rejection. As noted in section 2143 of the MPEP, to establish a *prima facie* case of obviousness, the references when combined, must teach or suggest all the claim limitations. Because Guschin *et al.* simply do not teach every element of the claimed invention, applicants respectfully submit that a *prima facie* case of anticipation has not been established. As stated in the discussion of the Guschin *et al.* reference above, Guschin *et al.* fail to disclose an interaction between a nucleic acid and a protein, such as required by (b) of amended claim 1, the independent claim from which both claim 15 and claim 16 depend.

A close reading of Guschin *et al.* reveals that in the reference, the nucleic acids and/or proteins are being contacted with either another nucleic acid or another protein, respectively. Immobilized DNA being contacted with DNA is demonstrated by Guschin *et al.* Figs. 3 and 5 and the corresponding text. Similarly, immobilized protein being contacted with protein is demonstrated by Guschin *et al.* Fig. 6 and corresponding text. Thus, Guschin *et al.* disclose that the nucleic acids may be contacted with other nucleic acids and the interaction measured and proteins may be contacted with other proteins and the interaction measured. At no point do Guschin *et al.* teach or suggest that the nucleic acids and/or proteins may be contacted with each other. Because Guschin *et al.* do not teach any method using an immobilized nucleic acid contacted with a protein in aqueous solution or an immobilized protein contacted with a nucleic acid in aqueous solution, Guschin *et al.* fail to teach each and every element of the claimed invention. The Ahern reference, a description of kits containing simple pre-made reagents, fails to cure this deficiency. Moreover, the Examiner has pointed to no suggestion or motivation to modify either reference to supply the missing element. Therefore, applicants respectfully assert that a *prima facie* case of obviousness regarding claim 15 and claim 16 has not been met. For this reason, applicants respectfully request the Examiner withdraw the rejection and allow the claims to issue.

USSN: 10/035,042

D. *Rejection of claim 22 and claim 23 under 35 U.S.C. § 103(a) as obvious over Arenkov et al. (Analytical Biochemistry, 278: 123-131 (2000)) in view of Ahern (The Scientist, 20: 1-5 (1995))*

Regarding the rejection of claim 22 and claim 23 in the Office Action, these claims have been cancelled. Therefore, applicants believe that the Examiner's rejection of these claims has been rendered moot. Thus, applicants respectfully request the Examiner withdraw the rejection.

CONCLUSION

For the foregoing reasons, applicants respectfully assert that the application is now in a condition for allowance. Consequently, applicants respectfully request the Examiner withdraw all of the rejections and allow the application to issue. The Examiner is invited to contact the undersigned by telephone if it is felt that a telephone interview would advance the prosecution of the present application.

Respectfully submitted,

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Molecular interactions on microarrays

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The structural features of nucleic acid probes tethered to a solid support and the molecular basis of their interaction with targets in solution have direct implications for the hybridization process. We discuss how arrays of oligonucleotides provide powerful tools to study the molecular basis of these interactions on a scale which is impossible using conventional analysis.

The DNA microarray is the latest in a line of techniques to exploit a potent feature of the DNA duplex—the sequence complementarity of the two strands. It is remarkable that a molecule of such great structural complexity can reassemble with perfect fidelity from the separated strands. Early studies of duplex melting and reformation, which were carried out on DNA solutions, provided valuable basic information: the dependence of T_m on G+C content and on salt concentration; and the dependence of rate of reassociation on sequence complexity.

The introduction of solid supports greatly increased the range of applications of the method and set the trail to array-based methods. The starting point was the observation that single-stranded DNA binds strongly to nitrocellulose membranes in a way that prevents the strands from reassociating with each other, but permits hybridization to complementary RNA¹. This simple method has led to the provision of fundamentally important data. For example, it was used to measure the number of copies of repeated genes, such as those for the ribosomal RNAs and tRNAs, in eukaryotes, and to measure changes in the number of

copies during processes such as amplification². It helped in the purification of the genes for the ribosomal RNAs by density gradient centrifugation³ before the advent of DNA cloning. And when cloning arrived, it provided a way of finding those clones which included specific sequences⁴. It was the direct antecedent of the 'blotting' methods, the first of which combined filter hybridization with gel separation of restriction digests⁵. More relevant to microarrays are the methods of 'dot-blotting'⁶. Subsequent automation and miniaturization of the dot-blot showed how hybridization could be used on a large scale to exploit the data emerging from genome programmes⁷.

The main distinction between dot blots and DNA microarrays is in the use of an impermeable, rigid substrate, such as glass, which has a number of practical advantages over porous membranes and gel pads⁸. As liquid cannot penetrate the surface of the support, target nucleic acids can find immediate access to the probes without diffusing into pores. This enhances the rate of hybridization, although mixing is important to achieve maximum rates of hybridization even with impermeable supports.

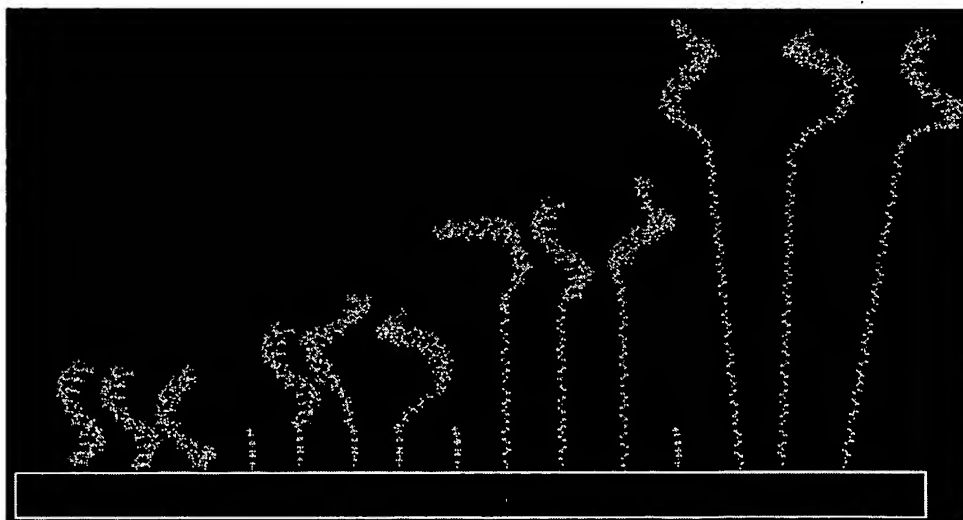


Fig. 1 The density of oligonucleotides on the surface is approximately 10 pmol per mm² on aminated polypropylene, approximately 0.1 pmol per mm² on glass after ammonia deprotection—equivalent to one molecule per 39 square angstroms. The oligonucleotides are just about within reach of each other on glass, but rather closely packed on polypropylene supports. Spacers help to overcome steric interference, which can take a number of forms: the ends of the probes closest to the surface are less accessible than the ends furthest away; tethered molecules may crowd each other. Oligonucleotides on long spacers are better able to extend away from their neighbours and from the surface to allow interaction with the target. In this and other figures, the molecules are shown in a stretched conformation. It is likely that the molecules are in a dynamic state which may include this as one extreme, but in which the average state is somewhat more condensed. The linkers illustrated are oligoethylene glycols 26, 60 and 105 atoms in length.



Fig. 2 Long target sequences are likely to fold in on themselves as a result of intramolecular Watson-Crick base pairing. This structure hides parts of the target from the oligonucleotide probes. Large targets are also likely to be inhibited by their bulk from approaching the surface. Illustrated here is tRNA^{Phe} in solution, hybridizing to tethered decanucleotides.

The washing step which follows hybridization is also unimpeded by diffusion, speeding up the procedure and improving reproducibility. The flatness, rigidity and transparency of glass supports improve image acquisition and image processing, as the locations of the probes are much better defined than they are on a flexible membrane; high image definition is critical for the small feature sizes which can be achieved on microarrays. Physical rigidity permits incorporation into flow cells for the automated processing which is essential for high throughput analysis. These practical benefits apply to all types of arrays, to cloned DNAs or PCR products as well as to synthetic oligonucleotides. Arrays made on an impermeable support are more readily considered from a theoretical standpoint: the kinetics of the interactions are not complicated by the diffusion of solvent and solutes into and out of pores or by the multiple interactions which can occur once the target has entered a pore⁹. In addition, the molecular attachment of short probes is well defined. For these reasons, we will not discuss in detail arrays made by non-covalent binding of probes to a surface through the bases or the backbone (that is, spotting arrays) nor arrays made on porous supports, although they are useful in many applications¹⁰. Our focus will be on arrays of oligonucleotides bound to impermeable supports covalently, through one end.

At the present time, the main large-scale application of microarrays is comparative expression analysis¹⁰. Another application, the analysis of DNA variation on a genome-wide scale, is becoming an increasingly viable prospect¹¹. Both of

these applications have many common requirements, but differ in some important respects. For the analysis of variation, it is important that the reaction forming duplex between target and probe is able to discriminate a single mismatched base pair (see page 56 of this issue (ref. 11)); the high degree of discrimination required is possible only with short probes. Sequence discrimination is less important for the measurement of expression levels, but in this case, quantitative measurement over a wide dynamic range is important. Other applications include the characterization of molecular interactions and the discovery of effective antisense reagents¹².

Array fabrication

In situ synthesis has a number of advantages over deposition of pre-synthesized oligonucleotides. Yields are high and consistent over the surface of the support from one cell of the array to another. It permits combinatorial strategies, for the fabrication of large arrays of oligonucleotides in few coupling steps. Three approaches have been used to direct oligonucleotide synthesis to defined areas of a support for *in situ* fabrication of arrays. The photochemical deprotection method is described by Robert Lipshutz and colleagues on page 20 of this issue (ref. 13). Ink-jet delivery of nucleotide precursors to the surface¹⁴ has been developed by a number of companies, but is not yet in commercial production. These two methods enable manufacture of 'random access' arrays; that is, the oligonucleotide in any position can have any chosen sequence. Synthesis can also be localized by

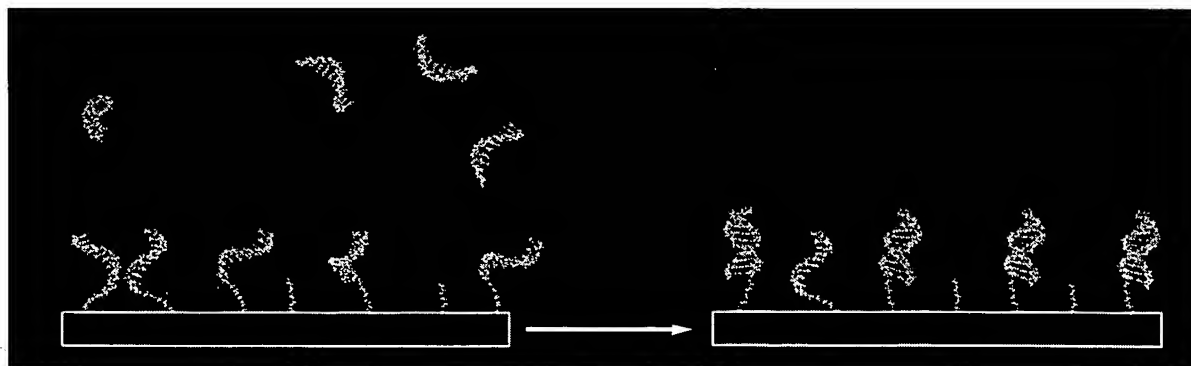
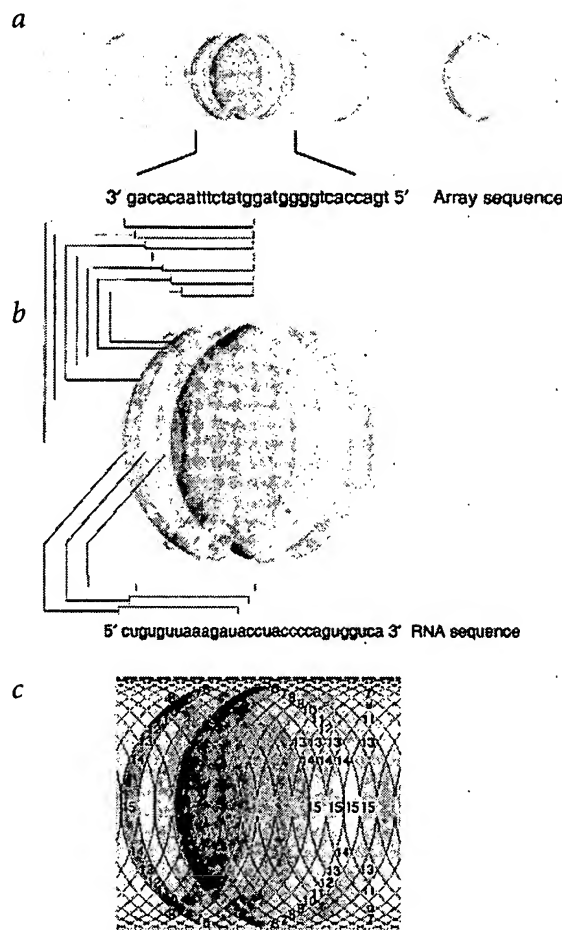


Fig. 3 Short targets are better able than large targets to interact with tethered oligonucleotides: they are less likely to have bases hidden from duplex formation by intramolecular base pairing; and, as they are less bulky, they will more readily penetrate the closely packed lawn of oligonucleotides. Ideally, target and probe should have the same length, as illustrated.

Fig. 4 A 32 P-labelled RNA transcript of rat *Ox40*, encoding a cell surface glycoprotein, hybridized to a scanning array in 3.5 M TMACl at 4 °C. **a**, the array represents a tiling path of oligonucleotides complementary to the target sequence. There are sharp transitions in hybridization intensity; regions of high yield punctuate regions of low yield. **b**, A region of high yield is enlarged. Contrasts in hybridization yield are seen within this region. Successive positions on the array, which step through the target sequence are indicated. Arc motifs, which indicate hybridization of related sequences, are embedded in the hybridization pattern. The sequence of oligonucleotides is indicated for the first of two arcs of high intensity which contain oligonucleotides with common 5' ends that are successively shortened at the 3' end. Oligonucleotides in the region covering these two arcs contain a low GC content and although the longer sequences are complementary to runs of ribopurines, the highest yield on the array is in the second arc from GAUACCUA, which contains two uridines (these are normally destabilizing). An arc of low hybridization yield in which oligonucleotides have a common 3' end is also evident. The base sequence at the common end has an inordinate influence on hybridization yield; oligonucleotides in positions shifted by one increment differ starkly in yield from oligonucleotides within the arc. **c**, a template placed over the image shows the positions of cells containing individual sequences; yield along an arc, going from longer sequences to shorter constituent sequences, can increase and then drop again—effects that are probably due to secondary structure in the target sequence.



confining chemicals physically, for example, using masks or physical barriers¹⁵; by this means, complex arrays comprising many different, related sequences can be made in a few coupling steps by combinatorial methods. Flooding the precursors through orthogonally intersecting channels has been used to make arrays of all sequences of a chosen length^{16,17}; circular or diamond shaped reaction chambers are used to make 'scanning' or 'tiling-path' arrays by applying the precursors in a series of overlapping areas on the surface of the support¹⁸. These arrays have been useful for the studies of hybridization behaviour.

It is difficult to assess the quality of the oligonucleotides made on a surface. The amount of material—approximately 10 pmol per square millimeter at densest packing—is small. However, analysis of oligonucleotides made on cleavable linkers suggests a high quality (S. Case-Green, pers. comm.). Non-destructive measurements can be made by ellipsometry or interferometry¹⁹, methods recruited from the field of materials science. These techniques could be used for routine quality control, but are not available to most biology laboratories. Pre-synthesized oligonucleotides, on the other hand, can be assessed before they are attached to the surface²⁰, but it is not presently economical to make large arrays in this way. When large numbers of arrays with the same probes are needed, deposition may be more economical than *in situ* synthesis. Deposition is also the method of choice for long sequences which are available as PCR products. The technology for making spotting arrays is more accessible than that for *in situ* fabrication (see pages 10 (ref. 21) and 15 (ref. 22) of this issue).

Effect of support on duplex yield

Oligonucleotides cannot be coupled directly to the surface silanol groups of silicate glass or to most plastics. It is necessary to functionalise the surface with a group from which to initiate the growth of the oligonucleotide chain. Oligoethylene glycols have been used for glass²², and polypropylene is readily aminated in a plasma discharge²³.

Tethering one end of an oligonucleotide to a surface is expected to affect formation of duplex with a target in solution. The bases nearest the surface are less accessible than those furthest away. The packing of oligonucleotides made by synthesis *in situ* on a glass or polypropylene surface is high: so high that there is steric crowding. Fortunately, the ammonia used to deprotect the bases appears to dissolve enough from the surface of glass to obviate steric hindrance but leaves enough to yield good hybridization signal^{19,24}. Ammonia does not remove

oligonucleotides from polypropylene, however, and in this case there is evidence of an effect of steric crowding on the interaction between substrate and probe. Hybridization yields are increased up to two orders of magnitude by introducing spacers between the surface and the oligonucleotides (Fig. 1). Spacer length has a marked effect^{21,25}; interestingly, there is an optimum length beyond which hybridization yield declines, presumably because the oligonucleotides 'dissolve' in the linker and become less accessible to the target. Clearly, there is scope for further studies of materials for array fabrication, in particular, for improvements to the attachment chemistry.

Effects of base composition and sequence

Base composition has a large effect on duplex yield in the solvents normally used for hybridization. The effect is undoubtedly due to lower stability of A:T versus G:C pairs. Short oligonucleotides may have extreme biases in composition and oligonucleotides of the same length have correspondingly large differences in T_m . As a rough rule, adding an A:T base pair increases T_m by 2 °C, compared with 4 °C for a G:C pair.

Arrays offer rich opportunities to analyse large numbers of sequence interactions. In a study using an array comprising all 256 octapurine sequences and a target comprising decanucleotides with the composition A(C,T)₈A (ref. 17) it was found that high concentrations of TMACl had a large effect on hybridization yields. In 1M NaCl, hybridization to A₈ was barely detectable under conditions where G₈ gave good duplex yield. But in 3–4 M TMACl, yields of all duplexes increased, with the

greatest effect on A_6 ; in this solvent, the largest difference in yield was around fivefold. The study also showed that terminal G:C pairs produce significantly increased yields: $GN_6G > GN_6A \sim AN_6G > AN_6A$ for octanucleotides of the same overall base composition. This study and others suggest that sequences of the same composition but different sequence give different yields. Sequence effects are expected, as it is known that base stacking interactions, which depend on nearest neighbours, significantly affect duplex stability. More subtly, it has been shown that unpaired bases, which stack on the end of the duplex in the case when the target overlaps the probe oligonucleotide, may have a strong effect on yield²⁶. While duplex stability is a determinant of duplex yield, the large magnitude of the differences in duplex yield and other evidence suggest that it is not the main factor.

Duplex formation and folding in the target

Duplex formation is reversible. However, even for relatively short duplexes, 10-mers or longer, the rate of strand separation is very low under hybridization conditions used with arrays (for example, 1 M NaCl or 3 M TMACl at temperatures below 30 °C (S. Case-Green, pers. comm. and refs 27–29). Thus, differences in yield are not due to differences in overall stability of duplexes but to different rates of forward reaction. To find the underlying cause of the dramatic differences in duplex yield arising from different regions of the target^{12,18,30}, we must look into the mechanism of duplex formation. It is highly unlikely that all base pairs of the duplex form simultaneously: it is much more likely that the process begins by the formation of a transient nucleation complex from the interaction of very few base pairs³⁰. Duplex formation proceeds, one base pair at a time, through a zipper process. At any point the reaction may go in one of two directions—pairing or separation: if bases are complementary and freely available for pairing, duplex formation is more likely to proceed; if bases are non-complementary or a stable structure inhibits base pair formation, the block to the zipper process may drive the nucleation complex to fall apart. Duplex formation, and hence duplex yield, will be determined by the stability of the nucleation complex and of intermediates up to the point in the zipper process where the likelihood of strand separation is negligible (Figs 2,3). It is evident that a number of factors must contribute to these early interactions, but there have been few systematic studies.

When the probes on the array are short and the targets are long, as is the case for most applications, initiation must begin at internal sites in the longer strand. The availability for nucleation of sites in the target will be determined by secondary structure, as intramolecular base pairing is stable under the non-stringent conditions used to hybridize to oligonucleotides. The hybridization behaviour of a tRNA with known tertiary structure is consistent with this view. Only four regions are open to duplex formation (ref. 29; K.M., unpublished observations). Each strong heteroduplex takes in one side of a stem; significantly, in all four cases, there are unpaired bases stacked on the end of the stem. The mechanism of duplex formation suggested by this result is one in which nucleation begins at the unpaired bases and propagates into the stem by strand displacement. The significant structural feature seems to be that the bases incorporated into the heteroduplex are already in a helical conformation in the native tRNA. Heteroduplex formation involves minimal perturbation of existing structures.

Effects of target structure (Fig. 4) are unlikely to be relevant to hybridization to spotted clones or PCR products as these are

carried out under more stringent conditions, which should melt most secondary structure. However, these theoretical considerations of mechanism have significance for the practical application of hybridization to oligonucleotide arrays.

Minimizing secondary structure of targets

Most analyses are directed to complex targets, for example, human genomic DNA. In general, it is preferable to reduce sequence complexity to produce good hybridization signal within a reasonable hybridization time. Consequently, amplification by PCR is a standard part of target preparation. A favoured procedure for producing single-stranded targets from PCR products is to include a promoter for a RNA polymerase in one of the primers, from which RNA is transcribed¹⁵. However, RNA has stable secondary structure which can interfere with hybridization, as we have seen. Steps must be taken to reduce these effects, such as fragmenting the RNA, preferably to a size close to that of the oligonucleotides on the array¹³. Secondary structure is less of a problem with DNA targets and PCR products can be made single-stranded by treatment with exonucleases if one of the primers is blocked by incorporating resistant groups such as phosphorothioates³² or a dendritic cap³³.

Polymerase and ligase extension

DNA polymerase and ligase enhance and complement the discriminating power which can be achieved by hybridization alone. It is well known that mismatches close to the centre of an oligonucleotide have a strongly destabilising effect on the duplex; mismatches at the ends are less destabilising and thus more difficult to discriminate by hybridization. Polymerases and ligases, by contrast, are affected more by terminal than internal mismatches. Polymerase uses the tethered oligonucleotide as a primer in an extension reaction in which the substrate is a dideoxy-nucleotide triphosphate (ddNTP). The enzyme incorporates and extends only one base—that which is complementary to the next base in the target. This process is known as minisequencing³⁴, or genetic bit analysis³². Related methods that use ligase have been developed^{35,36} and are being adapted for use with arrays. Heat stable enzymes help to overcome the problems which arise from carrying out the reactions at low temperature, conditions which we have seen encourage formation of intramolecular folding in the target. Thermostable polymerases and ligases are able to function at high temperatures, where the oligonucleotide duplexes have short lifetimes. Evidently, the enzymes stabilise transient duplexes or act quickly enough to form product during the short life of the duplex. In this way, the enzymes drive the reaction further than is possible by hybridization alone under conditions of high stringency.

DNA arrays have proved their value as tools for large-scale nucleic acid analysis. There is no doubt, however, that many facets of the system can be improved. It is likely that better substrate materials remain to be discovered, and the nature of the interactions between probe and target remains only partially characterized. There is room for development of automated systems for making arrays and for processing them through hybridization and reading; more sensitive detection methods, especially methods that permit analysis in real-time, would extend the range of application. It seems likely that new enzymatic techniques will be adapted to array format. In short, there is a need for systematic, basic studies, for which the arrays themselves offer a powerful experimental platform^{16,37}.

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